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Fax Transmittal

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United States Patent and Trademark Office - Group Art Unit 3624

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Message

Re: Inventor : Lawrence P. Shields, et al.
Serial No. : 09/779,114
Filing Date : February 8, 2001
Title : SYSTEM AND METHOD FOR EXECUTION OF TRADES MADE
PURSUANT TO STOCK OPTION...
Att'y Docket : 74622-040

Attached please find the following:

- 1) Power of Attorney and Correspondence Address Indication Form
- 2) Statement Under 37 CFR 3.73(b)

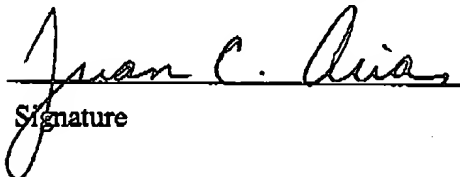
Please contact John C. Stellabotte at (212) 969-3413 if you have any questions.

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STATEMENT UNDER 37 CFR 3.73(b)Applicant/Patent Owner: Lawrence P. Shields, et al.Application No./Patent No.: 09/779,114 Filed/Issue Date: February 8, 2001Entitled: **SYSTEM AND METHOD FOR EXECUTION OF TRADES MADE PURSUANT TO STOCK OPTION...**

UBS Financial Services, Inc. Corporation

(Name of Applicant/Patent Owner) (Type of Entity: e.g., corporation, partnership, individually, government agency, etc.)

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The undersigned (whose title is supplied below) is authorized to act on behalf of the assignee.

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Gregg L. Goldman

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Director and Senior Counsel, UBS Financial Services, Inc.

Title

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This collection of information is required by 37 CFR 3.73(b). The information is required to obtain or retain a benefit by the public which is to be (and by the USPTO to process) an application. Confidentiality is governed by 39 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1460, Alexandria, VA 22313-1460. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1460, Alexandria, VA 22313-1460.

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